

Please type a plus sign (+) inside this box → ☐PTO/SB/05 (4/98)  
Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 00093  
First Inventor or Application Identifier Matyjaszewski  
Title Catalytic Processes for...  
Express Mail Label No. EI164524710US**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 180]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross References to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to Microfiche Appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 17]  
[Total Pages ]
4. Oath or Declaration [Total Pages ]  
a. ☐ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

**NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY  
FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT  
IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.201).****ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Copy  
b. ☐ Paper Copy (identical to computer copy)  
c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement of Power of Attorney  
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ 39 Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☐ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13. ☐ \* Small Entity Statement filed in prior application, Status still proper and desired  
(PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☐ Other: \_\_\_\_\_

**16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:**☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

Group / Art Unit: \_\_\_\_\_

**For CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**17. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name	Christine R. Ethridge				
Address	Kirkpatrick & Lockhart LLP Henry W. Oliver Building, 535 Smithfield St.				
City	Pittsburgh	State	PA	Zip Code	15222-2312
Country	United States	Telephone	412-355-8619	Fax	412-355-6501

Name (Print/Type)	Christine R. Ethridge	Registration No. (Attorney/Agent)	30,557
Signature	<i>Christine R. Ethridge</i>	Date	March 23, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

102105

18351 U.S. PTO



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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$ ) 9906.00

## Complete if Known

Application Number	
Filing Date	3/23/00
First Named Inventor	Matyjaszewski
Examiner Name	
Group / Art Unit	
Attorney Docket No.	00093

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 11-1110

Deposit Account Name Kirkpatrick & Lockhart

- ☒ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 690	201 345	Utility filing fee	690
106 310	206 155	Design filing fee	
107 480	207 240	Plant filing fee	
108 690	208 345	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$ ) 690

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
285	265	18	4770
60	57	78	4446

\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 78	202 39	Independent claims in excess of 3
104 260	204 130	Multiple dependent claim, if not paid
109 78	209 39	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ ) 9906.00

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet.	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 380	216 190	Extension for reply within second month	
117 870	217 435	Extension for reply within third month	
118 1,360	218 680	Extension for reply within fourth month	
128 1,850	228 925	Extension for reply within fifth month	
119 300	219 150	Notice of Appeal	
120 300	220 150	Filing a brief in support of an appeal	
121 260	221 130	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,210	241 605	Petition to revive - unintentional	
142 1,210	242 605	Utility issue fee (or reissue)	
143 430	243 215	Design issue fee	
144 580	244 290	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ )

## SUBMITTED BY

Name (Print/Type)	Christine R. Ettridge	Registration No. (Attorney/Agent)	30,557	Telephone	412/355-8619
Signature	<i>Christine R. Ettridge</i>	Date	March 23, 2000		

## WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 09/534,827  
First Named Inventor : Krzysztof Matyjaszewski  
Filing Date : March 23, 2000  
TC/A.U. : 1713  
Examiner : Not yet assigned

Docket No. : 00093  
Customer No. : 26285

**Mail Stop: Reconstruction  
Commissioner for Patents  
P.O. Box: 1450  
Alexandria, VA 22313-1450**

## EXPRESS MAIL CERTIFICATE

"Express Mail" label number EQ085320011US

Date of Deposit October 21, 2005

I hereby certify that the following attached paper or fee:

Utility Application Transmittal dated March 23, 2000  
Fee Transmittal dated March 23, 2000  
Specification  
17 Sheets of Informal Drawings  
Information Disclosure Statement, Form PTO 1449 filed on March 23, 2000  
Express Mail Label dated March 23, 2000  
Return postcard from PTO acknowledging receipt and indication of serial number  
Filing Receipt dated May 31, 2000  
License for foreign filing dated May 31, 2000  
Notice to File Missing Parts of Nonprovisional application dated May 31, 2000  
37 CFR § 3.73(b) Statement filed June 8, 2000  
Recordation Form Cover Sheet Form 1619 A-C filed June 8, 2000  
Assignment of Invention (Multiple Inventors) filed June 8, 2000  
Notice of Recordation of Assignment Document dated June 15, 2000  
Completion of Filing Requirements including Declaration of Inventors dated July 31, 2000  
Notice of Recordation of Assignment Document dated October 3, 2000  
Status Inquiry dated June 21, 2002  
Status Inquiry dated September 26, 2003  
Information Disclosure Statement, Form PTO/SB/08A dated February 10, 2004  
Status Inquiry dated November 5, 2004  
Certified true copy of Recordation of Assignment  
Letter to Certification Branch: Copy Fulfillment  
References (except for U.S. Patent Documents)  
Notice Under 37 CFR 1.251 Pending Application  
Signed Notice under 37 CFR 1.251 Pending Application  
Preliminary Amendment

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: **Mail Stop: Reconstruction, Commissioner for Patents, P.O. Box: 1450, Alexandria, VA 22313-1450**

Beth H. Retort

(Typed or printed name of person mailing paper or fee)

(Signature of person mailing paper or fee)

(Express Mail Certificate [8-3])

S.N. \_\_\_\_\_ Docket No. 00093

Title: Catalytic Processes for  
the Controlled Polymerization...

The PTO acknowledges, and has stamped hereon,  
the date of receipt of the below items, which were  
mailed 3-23-00:

- ☒ New Pat. Appl. Trans. (2x)
- ☒ Transmittal Letter
- ☐ PCT Request and fee calc. sheet
- ☒ Specification
- ☒ 17 sheets of informal drawings
- ☐ \_\_\_\_\_ sheets of formal drawings
- ☐ Combined Dec. & POA
- ☐ Oath/App. of Agent
- ☐ Ver. Statement Cl. Sm. Ent. Status
- ☐ Assignment
- ☐ Amendment Transmittal (2x)
- ☐ Amendment
- ☐ Declaration(s)
- ☐ Affidavit(s)
- ☒ Information Disclosure Statement
- ☒ Form PTO 1449
- ☒ \_\_\_\_\_ References
- ☐ Priority claim
- ☐ Priority document
- ☐ Notice of Appeal
- ☐ Issue Fee
- ☐ PTO Forms 85(b) and (c)
- ☒ check

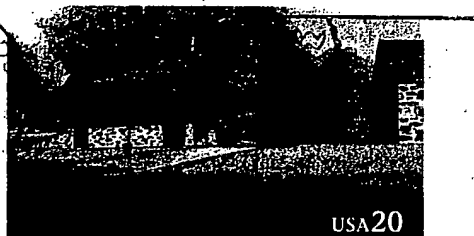
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**KIRKPATRICK & LOCKHART LLP**



**KIRKPATRICK & LOCKHART, LLP**

**1500 Oliver Building**

**Pittsburgh, PA 15222**

**ATTN: Terri J. Watson**

**26**

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